

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Application

Inventor(s): Steven J. Smith

Appln. No.: 09/829,524

Confirm. No.: 8436

Filed: April 9, 2001

Title: HIGH VOLUME ELECTRONIC MAIL PROCESSING
SYSTEMS AND METHODS

PATENT APPLICATION

Art Unit: 2152

Examiner:

Customer No. 23910

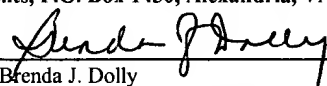
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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on Aug. 14, 2003.


Name: Brenda J. Dolly

Signature Date: Aug. 14, 2003

(Signature)

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.56

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

It is requested that the information identified in this statement be considered by the Examiner and made of record in the above-identified application. This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56. If this is a continuation, divisional or continuation-in-part application, it is understood that the Examiner will consider all information which was considered by the Office in a parent application. MPEP §609. Such information therefore is not listed herein unless it is desired that the information be printed on a patent issuing from the subject application.

Enclosed with this statement are the following:

- ☒ Form PTO-1449. The Examiner is requested to initial the form and return it to the undersigned in accordance with M.P.E.P. §609.
- ☒ A copy of each cited document as required by 37 C.F.R. §1.98. Copies are not submitted of documents previously submitted by the applicant in a parent application from which benefit under 35 U.S.C. §120 is claimed, 37 C.F.R. §1.98(d)(1), with an *Information Disclosure Statement* submitted in the parent application which complies with the September 8, 2000 or subsequent revision of 37 C.F.R. §1.98(a-c). If any of the cited/submitted documents is in a foreign language, a concise explanation of relevance is provided pursuant to 37 C.F.R. §1.98(a)(3)(i). For foreign language documents cited in a search report by a foreign patent office, the requirement for a concise

explanation of relevance is satisfied by the submission herewith of an English language version of the search report. MPEP §609A(3). If a written English-language translation of a non-English language document, or portion thereof, is within the possession, custody or control of, or is readily available to any individual designated in §1.56(c), a copy of the translation accompanies this statement, 37 C.F.R. §1.98(a)(3)(ii), and satisfies the requirement for a concise explanation of relevance, MPEP §609A(3).

— **PTA Statement under 37 C.F.R. §1.704(d).** Each item of information contained in the *Information Disclosure Statement* was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the *Information Disclosure Statement*.

This statement should be considered because:

✓ **37 C.F.R. §1.97(b).** This statement qualifies under 37 C.F.R. §1.97, subsection (b) because:

- (1) It is being filed within three months of the filing date of an application other than a continued prosecution application under § 1.53(d);
-- OR --
- (2) It is being filed within 3 months of entry of a national stage;
-- OR --
- (3) It is being filed before the mailing date of the first Office Action on the merits,
-- OR --
- (4) It is being filed before the mailing date of the first Office Action after the filing of a Request for Continued Examination under 37 C.F.R. §1.114.

— **37 C.F.R. §1.97(c).** Although it may not qualify under subsection (b), this statement qualifies under 37 C.F.R. §1.97, subsection (c) because:

- (1) It is being filed before the mailing date of a FINAL Office Action, a Notice of Allowance, or an action that otherwise closes prosecution in the subject application, whichever occurs first.

-- AND (check at least one of the following) --

- (1) It is accompanied by a STATEMENT as set forth in 37 C.F.R. §1.97(e).
-- OR --
— (2) It is accompanied by the \$180 fee set forth in 37 C.F.R. §1.17(p).

— **37 C.F.R. §1.97(d).** Although it may not qualify under subsection (b) or (c), this statement qualifies under 37 C.F.R. §1.97, subsection (d) because:

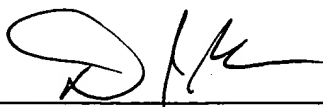
- (1) It is being filed on or before payment of the Issue Fee;
-- AND --
- (2) It is accompanied by a STATEMENT as set forth in 37 C.F.R. §1.97(e);
-- AND --
- (3) It is accompanied by the \$180 fee set forth in 37 C.F.R. §1.17(p).

✓ **Fee Authorization.** The Commissioner is hereby authorized to charge any deficiencies or credit any overpayment to Deposit Account No. 06-1325. A duplicate copy of this authorization is enclosed.

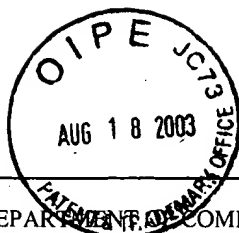
Respectfully submitted,

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Date: 8/13/03

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Sheet ____ of ____

Form PTO-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number MNDSH-01000US0	Serial/Patent Number 09/829,524
Information Disclosure Statement BY APPLICANT <i>(Use several sheets if necessary)</i>		Applicant/Patent Owner Steven J. Smith	
		Filing/Issue Date April 9, 2001	Group Art Unit 2152

U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
	1	5,424,724	Jun. 13, 1995	Williams et al.			
	2	5,487,100	Jan. 23, 1996	Kane			
	3	5,504,897	Apr. 02, 1996	Gans et al.			
	4	5,761,662	Jun. 02, 1998	Dasan			
	5	5,793,497	Aug. 11, 1998	Funk			
	6	5,793,972	Aug. 11, 1998	Shane			
	7	5,835,762	Nov. 10, 1998	Gans et al.			
	8	5,864,684	Jan. 26, 1999	Nielsen			
	9	5,893,099	Apr. 06, 1999	Schreiber et al.			
	10	5,937,162	Aug. 10, 1999	Funk et al.			
	11	5,948,061	Sep. 07, 1999	Merriman et al.			
	12	6,044,395	Mar. 28, 2000	Costales et al.			
	13	6,216,127 B1	Apr. 10, 2001	Gans et al.			
	14	6,289,372 B1	Sep. 11, 2001	Vyaznikov			
	15	6,463,462 B1	Oct. 08, 2002	Smith et al.			

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U.S. PATENT PUBLICATIONS

Examiner Initial		Patent Application Publication Number	Publication Date	Applicant
	16	2003/0028580 A1	Feb. 06, 2002	Kucherauw

PENDING U.S. PATENT APPLICATIONS							
Examiner Initial	Application Number	Filing Date	Inventor(s)	Petition to Expunge?			
17	10/389,419	Mar. 14, 2003	Smith et al.	Yes No			
FOREIGN PATENT DOCUMENTS							
Examiner Initial	Document Number	Publication Date	Country	Class	Subclass	Translation	
						Yes No	
OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)							
18	Article - "FloNetwork Inc., Prefer Network Team Up," www.emailuniverse.com/list-news/2000/10/18.html , October 18, 2000, 1 page						
19	Press Release - "Responsys.com Introduces Responsys Interact 2.0 for Permission-Based Direction on the Internet," www.responsys.com/corporate/about/details_press.asp?id=10 , dated Monday, October 25, 1999, 3 pages						
20	Press Release - "L-Soft Announces Release of LSMTP™ Version 1.1b," www.lsoft.com/news/lsmtp , dated March 1, 1999, 2 pages						
21	Internet Article - "Eight Great Lists Call Topica Home," The Leader in Email Discussions & Publishing Solutions, www.topica.com/about/index.html?mode=eight , dated July 26, 1999, 3 pages						
22	Chapman, D. B., "Majordomo: How I Manage 17 Mailing Lists Without Answering "request" Mail," <u>1992 LISA VI</u> , October 19-23, 1992 - Long Beach, CA, pps. 135-143						
Examiner				Date Considered			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							
*1 = Copy not submitted because it was submitted in prior application SN ____ / ____, filed ____, 20____, relied on under 35 USC §120.							
*2 = Copy not submitted because it was submitted in prior application SN ____ / ____, filed ____, 20____, relied on under 35 USC §120.							